

FIG. 1

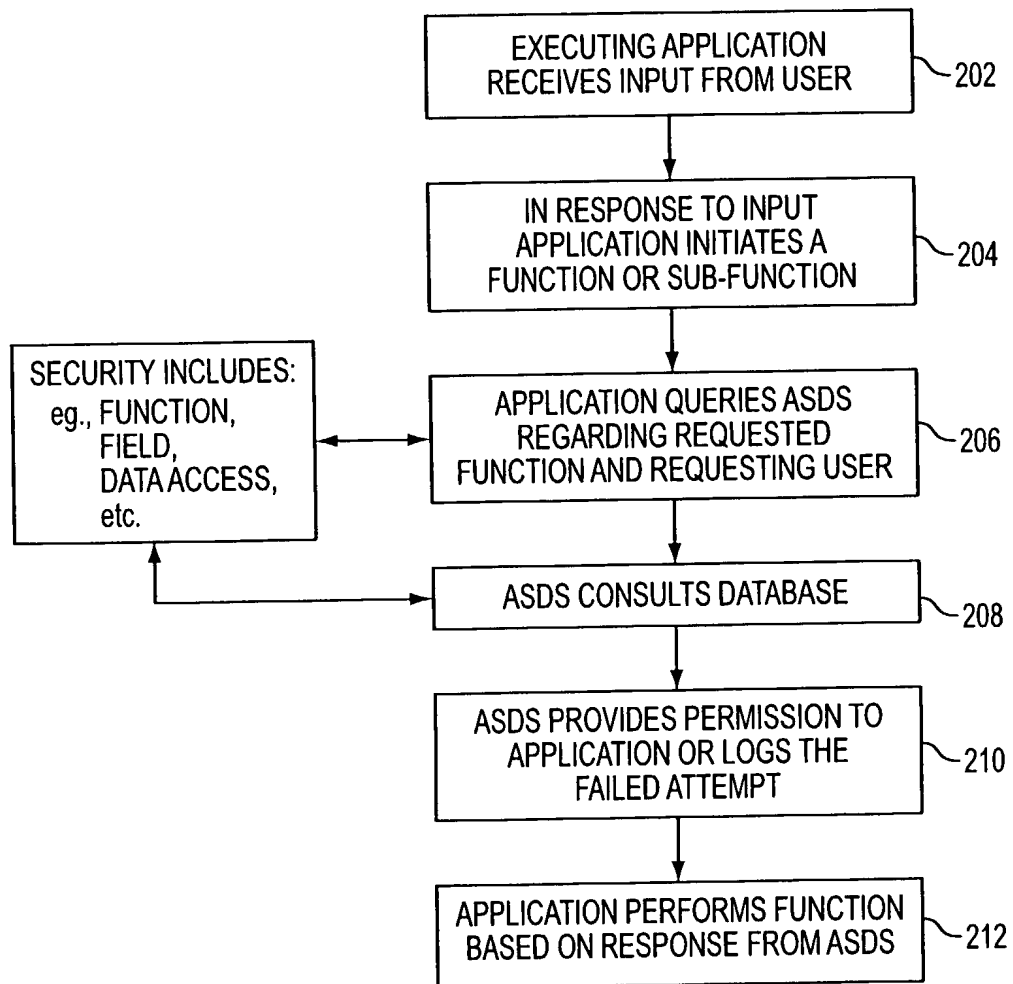


FIG. 2

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Security Administration - Applications

Application: Advanced Trade/Order Mgmt System

Applications and Functions

- Advanced Trade/Order Mgmt System
 - Admin Request
 - Confirm Cancel (Ccx)
 - Price Check (Pck)
 - Quote & Size (Qs)
 - Quote & Size Browse (Qsb)
 - Report Status (Rs)
 - Wire Miscellaneous (Wire)
 - Admin Response
 - Nothing Done (Nth)
 - Price Check Response (Pcr)
 - Quote & Size Response (Qsr)
 - Working Order (Wrk)
 - You Are Out (Out)
 - You Are Stopped/Guaranteed (Gur)
 - Equity Order Entry
 - Blank (Blk)
 - Complex Order Entry (Coe)
 - Equity Order Entry (Equ)
 - Non Interactive Blank (Nib)

Application: Advanced Trade/Order Mgmt Sys

Function: Admin Request

Sub-Function:

Sub-Sub-Function:

Access Settings

Authorization: Enabled

Status: Active

Add: Not Applicable

Effective Date: 01/01/1999

Update: Not Applicable

Expiration Date: 12/31/9999

Delete: Not Applicable

Pin: Not Applicable

Copy: Not Applicable

Admin Access

All Administrator Levels

Fields Save Reset Add Delete

FIG. 3

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Security Administration - Applications by Correspondent

Correspondent: 001 - DLJ Investment Services Group

Applications and Functions

- Custody
- Imaging
- On Demand
- Paradigm
 - Account
 - Activity
 - Detail
 - Commissions
 - Custom Money Line Creation
 - Custom Money Line Display
 - Holdings
 - Buy More
 - Detail
 - Non-Brokerage
 - Quote
 - Sell
 - Money Funds
 - Money Line
 - Performance
 - Portfolio

Application: Paradigm

Function: Account

Sub-Function: Holdings

Sub-Sub-Function: Detail

Access Settings

Authorization: Enabled

Status: Active

Add: Not Applicable

Effective Date: 05/28/1999

Update: Not Applicable

Expiration Date: 12/31/9999

Delete: Not Applicable

Pin: Not Applicable

Copy: Not Applicable

Admin Access

All Administrator Levels

Fields Enable Group Save Reset

FIG. 4

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Security Administration - Applications by Role

Correspondent: 028 - Royal Alliance Associates Inc Role: Branch Manager

Applications and Functions

- On Demand
 - Acm190D0 Acam Bank Activity
 - Csf460M0 Statements
 - Csf461M0 Statements
 - Csf462M0 Statements
 - Csf463M0 Statements
 - Csf464M0 Statements
 - Csf465M0 Statements
 - Csf466M0 Statements
 - Csf467M0 Statements
 - Csf468M0 Statements
 - Csf469M0 Statements
 - Csf470M0 Statements
 - Csf471M0 Statements
 - Csf472M0 Statements
 - Csf473M0 Statements
 - Csf474M0 Statements
 - Csf475M0 Statements
 - Csf476M0 Statements

Application: On Demand
 Function: On Demand Reports
 Sub-Function: Csf475M0 Statements
 Sub-Sub-Function:

Access Settings Environments

Authorization: Enabled Status: Active

Add: Not Applicable Effective Date: 04/02/2000

Update: Not Applicable Expiration Date: 12/31/9999

Delete: Not Applicable

Print: Not Applicable

Copy: Not Applicable Admin Access: All Administrator Levels

Fields Enable Group Save Reset

FIG. 5

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Secured Fields

Application: Paradigm
 Function: Equity Option Order Entry Retail Equity

	Field Name	Field Code	Type of Field	Authorization	Maintenance Access
1	Alternate Terminal	ALT-TERMINAL	Updatable	Disabled	Not Applicable
2	Exchange Override	EXCHANGE-OVERRIDE	Updatable	Enabled	Not Applicable
3	Mark Up/Down	MARK-UP-DOWN	Updatable	Enabled	Not Applicable
4	Price Discretion	PRICE-DISCRETION	Updatable	Invisible	Not Applicable
5	Sequence Number	SEQ-NUMBER	Updatable	Enabled	Not Applicable

Add Delete Save Reset

FIG. 6

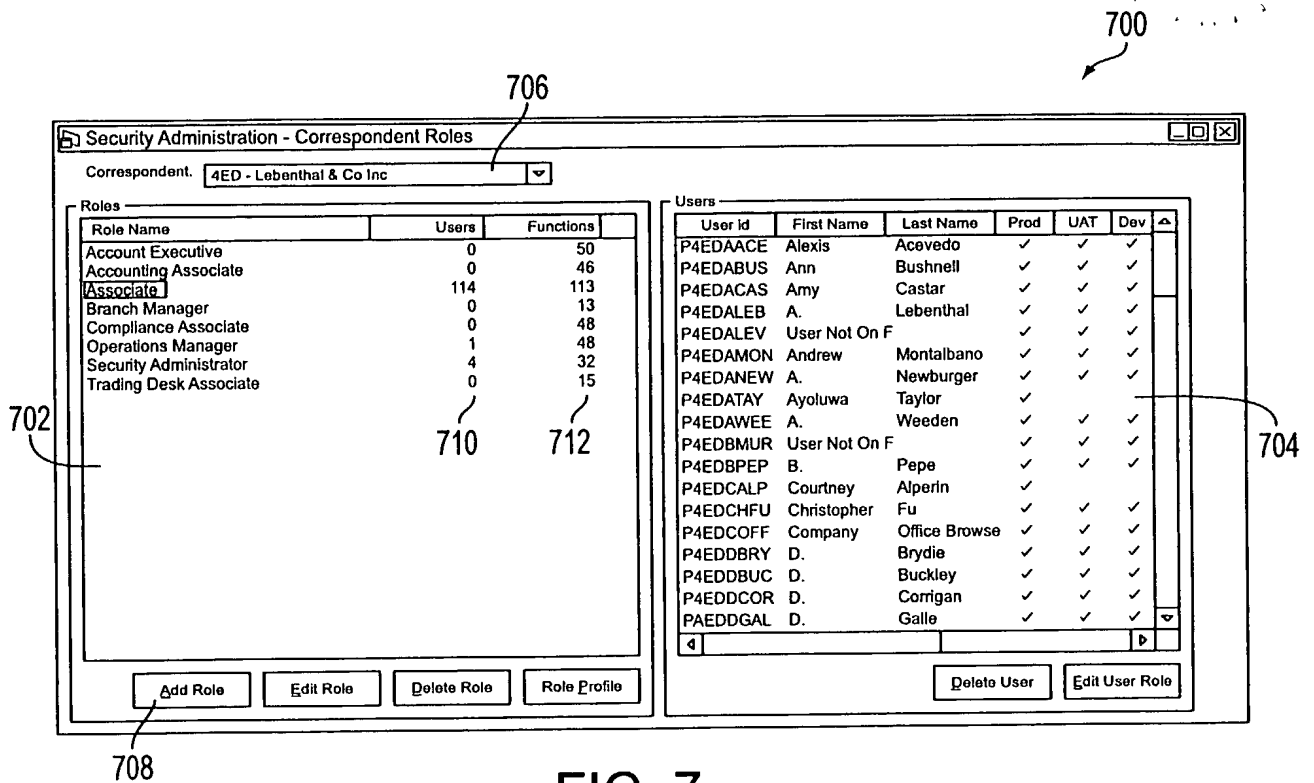


FIG. 7

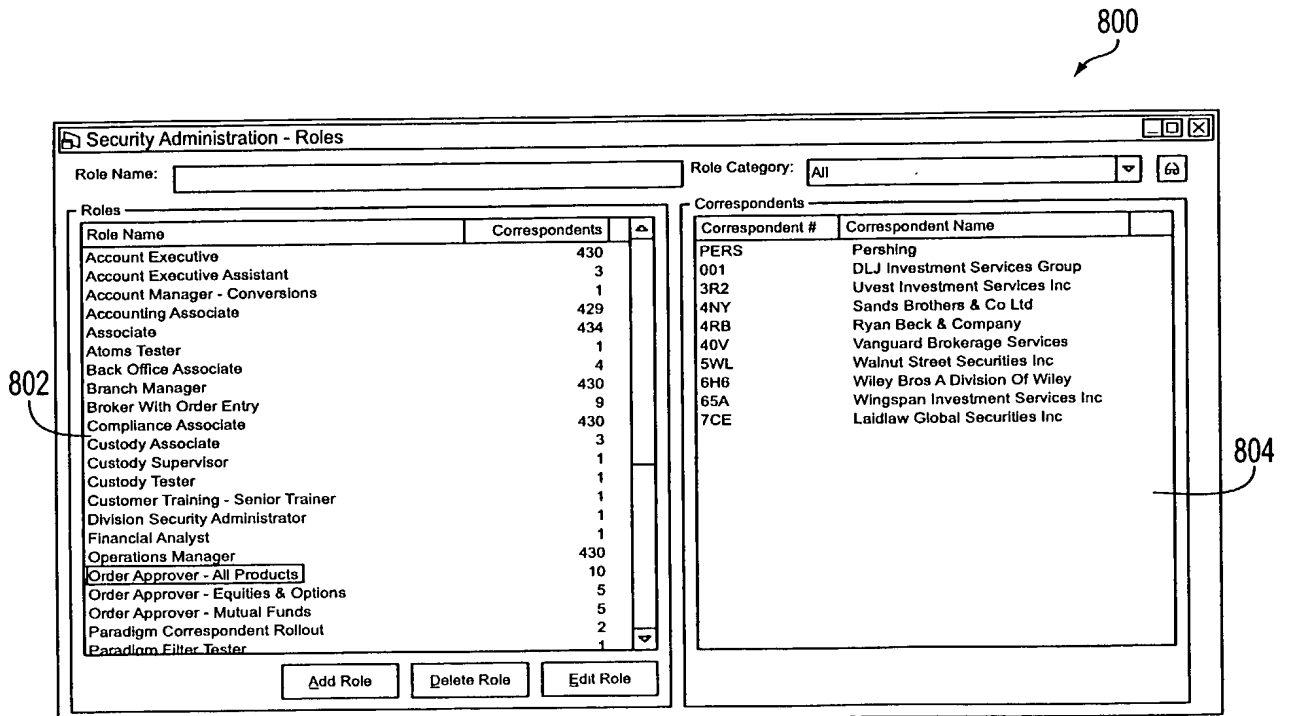


FIG. 8

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Security Administration - User Data Access

Corr: 001 - DLJ Investment Services Group User: P201AMAR - A. Marwede Rebuild User

	Data Problem	Correspondent	Office	Req. Rep.	Account	Eff. Date	Exp. Date	Status
1		001	2A1	F74	All	12/11/98	12/31/9999	Active
2		001	2A1	F93	All	12/11/98	12/31/9999	Active
3		001	2A1	K04	All	12/11/98	12/31/9999	Active
4		001	2C1	F74	All	12/11/98	12/31/9999	Active
5		001	2C1	F93	All	12/11/98	12/31/9999	Active
6		001	2C1	K04	All	12/11/98	12/31/9999	Active
7		001	2D1	F74	All	12/11/98	12/31/9999	Active
8		001	2D1	F93	All	12/11/98	12/31/9999	Active
9		001	2D1	K04	All	12/11/98	12/31/9999	Active
10		001	2E1	F74	All	12/11/98	12/31/9999	Active
11		001	2E1	F93	All	12/11/98	12/31/9999	Active
12		001	2E1	K04	All	12/11/98	12/31/9999	Active
13		001	2FE	F74	All	12/11/98	12/31/9999	Active
14		001	2FE	F93	All	12/11/98	12/31/9999	Active
15		001	2FE	K04	All	12/11/98	12/31/9999	Active
16		001	2F1	F74	All	12/11/98	12/31/9999	Active
17		001	2F1	F93	All	12/11/98	12/31/9999	Active

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Add Delete Detail

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FIG. 9

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Security Administration - User Setup

User Settings

Correspondent: PERS - Pershing Userid: TSOJPER 6a

First Name: J. Last Name: De Perna

Middle Init. PIN: 1101 Userid Type: Creation Date: 04/12/1993

Status: Active Expiration Date: 12/31/9999

Effective Date: 04/20/2000 Set Password (8 Chars): Confirm Password:

Departments: LED

Comments:

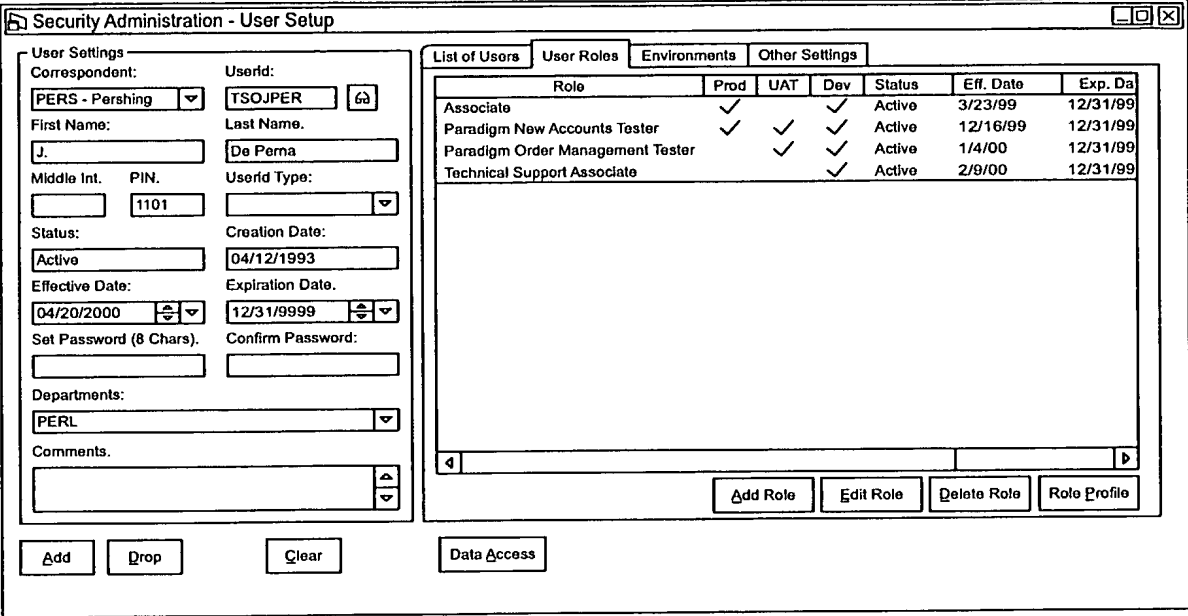
Add Drop Clear Data Access

List of Users User Roles Environments Other Settings

User Id	First Name	Last Name	Status
TSOJPAL	James	Palser	Active
TSOJPA1	James	Palser	Active
TSOJPER	J.	De Perna	Active
TSOJPFA	Joseph	Pfaff	Active
TSOJPRU	John	H. Prudden	Active

FIG. 10

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Security Administration - User Setup

User Settings

Correspondent: **PERS - Pershing** Userid: **TSOJPER**

First Name: **J.** Last Name: **De Perna**

Middle Init. PIN: **1101** Userid Type:

Status: **Active** Creation Date: **04/12/1993**

Effective Date: **04/20/2000** Expiration Date: **12/31/9999**

Set Password (8 Chars): Confirm Password:

Departments: **PERL**

Comments:

Add Drop Clear Data Access

List of Users **User Roles** **Environments** **Other Settings**

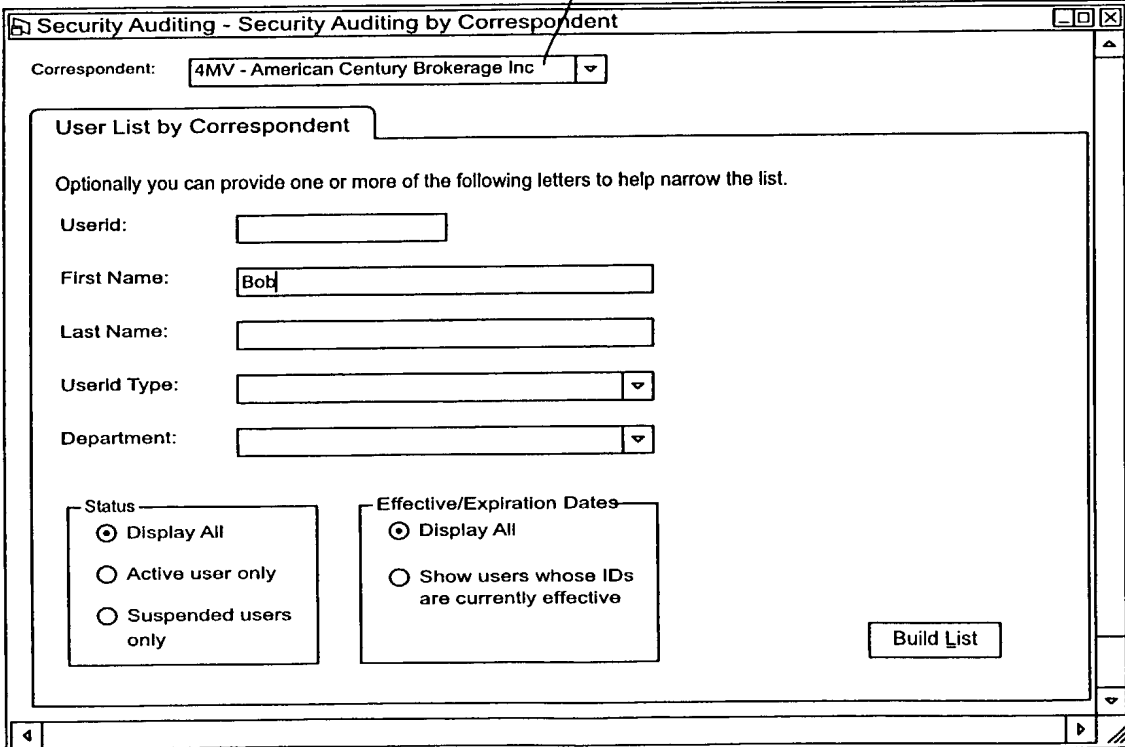
Role	Prod	UAT	Dev	Status	Eff. Date	Exp. Da
Associate	✓		✓	Active	3/23/99	12/31/99
Paradigm New Accounts Tester	✓		✓	Active	12/16/99	12/31/99
Paradigm Order Management Tester		✓	✓	Active	1/4/00	12/31/99
Technical Support Associate			✓	Active	2/9/00	12/31/99

Add Role Edit Role Delete Role Role Profile

FIG. 11

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Security Auditing - Security Auditing by Correspondent

Correspondent: **4MV - American Century Brokerage Inc**

User List by Correspondent

Optionally you can provide one or more of the following letters to help narrow the list.

Userid:

First Name: **Bob**

Last Name:

Userid Type:

Department:

Status

☒ Display All

☐ Active user only

☐ Suspended users only

Effective/Expiration Dates

☒ Display All

☐ Show users whose IDs are currently effective

Build List

FIG. 12A

1250

Security Auditing - Users by Correspondent

Correspondent: 4MV - American Century Brokerage Inc

	Usend	First Name	Middle Initial	Last Name	Effective Date	Expiration Date	Status	Usend Type	Department
1	P4MVBLAY	Bob		Laybum	6/24/99	12/31/9999	Active	User	PERD4MV
2	P4MVBOEF	Bob		Oefinger	10/20/99	12/31/9999	Active	User	PERD4MV
3	P4MVBOE2	Bob		Oefinger	10/20/99	12/31/9999	Active	User	PERD4MV

4

Print

FIG. 12B

1300

Security Change History

Provide one or more of the following filters to help narrow the list.

Userid:

Administrator ID:

Correspondent:

Date: From: 04/10/2000 To: 04/20/2000

Time: 00.00.00 23.59.59

Additional Filters Reset Filters

	Date	Time	Change Category	Change Type	Userid	User Name	Correspondent	Administr
1	04/20/2000	18:23:42	User Roles	Update	TSOJPER	J. De Perna	PERS	TSOTSSS
2	04/20/2000	18:23:21	User Roles	Update	TSOJPER	J. De Perna	PERS	TSOTSSS
3	04/20/2000	18:16:18	User Roles	Update	TSOJPER	J. De Perna	PERS	TSOTSSS
4	04/18/2000	10:41:44	User Roles	Delete	PARATS60	Top Secret T. Test	PERS	PARASEC
5	04/18/2000	10:41:37	User Roles	Update	PARATS60	Top Secret T. Test	PERS	PARASEC
6	04/18/2000	10:41:27	User Roles	Add	PARATS60	Top Secret T. Test	PERS	PARASEC
7	04/18/2000	10:33:09	User Roles	Delete	PARASEC4	Paradigm Security Admin	PERS	PARASEC
8	04/18/2000	10:31:44	User Roles	Add	PARASEC4	Paradigm Security Admin	PERS	PARASEC
9	04/13/2000	15:24:34	Applications By Role	Update			PERS	TSOTSSS
10	04/13/2000	15:19:10	Applications By Role	Add			PERS	TSOTSSS
11	04/13/2000	15:18:58	Applications By Role	Add			PERS	TSOTSSS
12	04/13/2000	15:18:38	Applications By Correspondent	Add			PERS	TSOTSSS

4

Details Fields

FIG. 13